

Shelby Planning Grant Drug Court Process Evaluation

October 7, 1999

Shelby Planning Grant Drug Court Program

Prepared by

**TK Logan, Katie Williams, Carl Leukefeld
Brandi Lewis**

**Center on Drug and Alcohol Research
University of Kentucky
643 Maxwelton Court
Lexington, KY 40506-0350**

606-257-8248

Table of Contents

Executive Summary	6
Program Description and Background	8
Program Goals	9
Recruitment and Screening	10
Capacity	11
Treatment Programming	11
Treatment Modalities	15
Relapse Patterns	17
Client Monitoring	17
Aftercare	19
Information Capabilities and Reporting	19
Funding	20
Program Decision Making	20
Evaluation	20
Potential Program Changes	20
Needed Services	21
Program Strengths	21
Advice to Other Drug Courts	21
Staff Characteristics	22
Community Organizations	24
Client Characteristics	25
Perceptions	
Judge	26
Defense	29
Jail	31
Police	32
Probation and Parole	34
Prosecution	35
Conclusions	37

Index of Tables

Table 1. Key Components	9
Table 2. Program Goals and Measures	10
Table 3. Treatment Modalities	15
Table 4. Summary of Client Contact with Program Components	17
Table 5. Drug Court Team Members	23
Table 6. Community Linkages	24
Table 7. Process Evaluation Methodology	40

Index of Appendices

Appendix A	Process Evaluation Methodology
Appendix B	Newspaper Articles
Appendix C	Program Manuals

Executive Summary

The purpose of this report is to provide the results of a process evaluation of the planned Shelby Drug Court program. This comprehensive process evaluation included a five hour interview with the Drug Court Judge and surveys of: 2 community treatment providers, 2 randomly selected defense attorneys, 1 prosecuting attorney, 2 representatives from the Probation and Parole Office, 1 representative from the Shelby County Jail, and 2 police department representatives. In all, 11 different individuals representing 8 different agency perspectives provided information about the planned Shelby Drug Court program for this report.

The data for this report is for the planning grant stage of the Shelby Drug Court program. Funding has not yet been granted to the Shelby Drug Court program. However, after the funding is granted, the target date for implementation of the Shelby Drug Court program is May of 2000. The mission of Kentucky's Drug Courts is to create a criminal justice environment that stops illicit drug use and related criminal activity and promotes recovery. In the program model developed for Shelby County, defendants will be accepted into the program through diversion recommendations made by the County Attorney and the Commonwealth's Attorney, or by probation referrals made by the sentencing Judge. There will be three phases in the Drug Court program, which will take one to two years to complete.

Program Goal Achievement. The Shelby Drug Court program has six primary overall goals: promote abstinence; decrease recidivism; increase community safety; increase life skills; increase community awareness; and expand and maintain the local and statewide resource base.

Drug Court Staff. Currently no staff members have been hired for the Shelby Drug Court program. Once funding is received for the Shelby Drug Court program, a treatment coordinator and case specialist will be hired.

Drug Court Judge. Currently, there is one Judge involved in planning the Shelby Drug Court program. Circuit Judge William Stewart has been on the bench for 15 years.

Program Implementation. Respondents listed the following potential difficulties with program implementation: (1) Getting sufficient manpower, (2) Getting officers to understand the program and the effectiveness it will have on their jobs and the community, (3) Enforcement, (4) Court involvement in the program to monitor the progress of the clients, and (5) Program costs of time and money. Representatives recommended that there should be educational programs to inform officers and the community about the benefits of the program. "There should be adequate staff of court personnel monitored through Probation and Parole for the enforcement and monitoring, to include drug testing and to assure necessary contact with the Circuit Court Judge."

Strengths. Respondents listed the following strengths of the planned Shelby Drug Court program: (1) Direct participation by those who have power to effect change, (2)

Immediate rewards/punishments, (3) Empowers the client to ultimately succeed, (4) Education, (5) Awareness, (6) Helping clients become self-sufficient, (7) Helping clients become productive citizens, (8) Helping clients and families begin to rebuild their lives, (9) Community involvement, and (10) Helping addicts to have better lives.

Concluding Comments. The following were concluding responses by various respondents. Although these are concluding comments, they also are excellent summaries of what respondents think about the Drug Court program.

The police representatives stated, “will try to get as much funding as possible so that there will be an upstanding, hard-working staff;” “[The Drug Court needs to] “stay tough on the addicts and make sure that they do what they are ordered to do;” “The Drug Court program is a wonderful thing as long as it is done with the right intent and stays tough not to let things slide with the addicts. It will really make a difference in our county. We really have a drug problem in our county and they need extra help with this problem and our Drug Court can give that extra help and guidance;” “We feel it would be an asset to our community and help eliminate the repeat offenders who slip through the cracks of justice;” and “The law enforcement agency and Drug Court will work great together.”

The Jail representatives stated: “We’re very excited about seeing the outcome and helping the drug problem. I will support it in any way.”

A statement from the prosecution was: “I am very encouraged about the establishment of a Drug Court in Shelby County. We are in need of some alternative methods that Drug Court can provide to help treat the offenders and remain supportive of their treatment plan.”

Summary. In summary, the Shelby Drug Court program is in the planning stages. One Judge has worked to plan the program. The program will be based on the *Key Components* and will have three program phases which will take clients one to two years to complete. Once funding has been granted, the program is slated to begin in May 2000.

The most compelling aspects of the Drug Court program are the immediate sanctions that clients will be given when the program rules are violated. Another compelling aspect of the Drug Court program will be the judicial involvement. The final compelling aspect of the Drug Court program is the client accountability. Clients will be required to be responsible for their actions. Respondents indicated that they believed the Drug Court program would be able to produce productive citizens.

In conclusion, the Drug Court Judge is dedicated to the program and the treatment of potential clients. There was support for the planned Shelby Drug Court program across all respondents surveyed. However, respondents were tentative in naming specific strengths and weaknesses of the planned program. This hesitancy indicates that more information for those parties who will work closely with the Drug Court program may be helpful in facilitating a smoother program implementation.

Program Description and Background

The motto for the Kentucky Drug Courts is “A chance...a change.” Kentucky’s Drug Courts are aligned with more than 200 Drug Courts across the United States. During Fiscal Year 1998, Shelby County had 356 drug related arrests.¹

Shelby County is located in the Bluegrass Region of Kentucky. It is adjacent to Jefferson County, the most populated county in the State of Kentucky. Shelby County had, in 1998, an estimated population of 29,583.² According to the 1990 census, the county is 75% rural.³

The Shelby Drug Court program is still in the planning stages. Therefore, the responses in this report reflect the expectations of the parties who will be involved with the Shelby Drug Court program.

The Shelby Drug Court will be based on the Kentucky Administrative Office of the Courts Drug Courts program model and will be grounded in the Key Components described in the 1997 publication *Defining Drug Courts: The Key Components*.⁴ The overall mission of Drug Courts is to stop the abuse of alcohol and other drugs and related criminal activity. In exchange for successful completion of the treatment program, the court may dismiss the original charge, reduce or set aside a sentence, offer some lesser penalty, or offer a combination of these. Drug Courts transform the roles of both criminal justice practitioners and Alcohol and Other Drug (AOD) treatment providers. The Judge is the central figure in a team effort that focuses on sobriety and accountability as primary goals. To ensure that the primary goals are met, the Drug Court Standards Committee developed some key components for all Drug Court programs. The key components as described in the 1997 *Defining Drug Courts: The Key Components*, are:

¹ Count of Drug and Non-Drug Offense Charges by County for Fiscal Year 1998. Department of Research and Statistics of the Administrative Office of the Courts.

² http://www.census.gov/population/estimates/county/co-98-1/98CI_2.txt.

³ <http://www.lrc.state.ky.us/other/econ/counties/shelby/censoc.txt>

⁴ *Defining Drug Courts: The Key Components* (January, 1997). U.S. Department of Justice, Office of Justice Programs, Drug Courts Programs Office.

Table 1. Key Components

1. Drug Courts integrate alcohol and other drug treatment services with justice system case processing.
2. Using a non-adversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.
3. Eligible participants are identified early and promptly placed in the Drug Court program.
4. Drug Courts provide access to a continuum of alcohol, drug, and other related treatment and rehabilitation services.
5. Abstinence is monitored by frequent alcohol and other drug testing.
6. A coordinated strategy governs Drug Court responses to participants' compliance.
7. Ongoing judicial interaction with each Drug Court participant is essential.
8. Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
9. Continuing interdisciplinary education promotes effective Drug Court planning, implementation, and operations.
10. Forging partnerships among Drug Courts, public agencies, and community-based organizations generates local support and enhances Drug Court effectiveness.

Using the Fayette Drug Court as a model, Circuit Judge William Stewart has formed a plan for the Shelby Drug Court program. The Fayette Drug Court is a model Drug Court for the State of Kentucky and is a National COPS Mentor Drug Court site.

One Judge is currently involved in the planned Shelby Drug Court program. Circuit Judge Stewart has been on the bench for fifteen years and has created programs similar to the Drug Court program while in District Court. Judge Stewart intends to work with the Drug Court program as long as he remains on the bench.

If the Shelby Drug Court program is funded, the Drug Court program will begin in May 2000. Before the formal funding is received, Judge Stewart is considering establishing a probation track Drug Court as a transition to a funded Drug Court program.

After the program is established, Judge Stewart is planning to serve fifty clients at any one time. Clients will meet with Drug Court staff in the courthouse in two conference rooms behind the courtroom. Treatment sessions will be conducted at independent treatment facility locations such as Seven Counties, Creative Spirits, and Family Institute. The Shelby Drug Court will initially serve only Shelby County. The program may possibly expand to include Anderson and Spencer counties at some time in the future. If this expansion takes place, the Drug Court sessions will still be held in Shelbyville in Shelby County.

Program Goals

In addition to the Key Components, the Shelby Drug Court will have the following goals: (1) Provide treatment for the treatable drug addict or drug user, (2) Reduce incarceration, (3) Address issues of adult education and job security, and (4) Address issues of domestic violence and parenting. Regular reports from the Drug Court

team (Judge, treatment staff, attorneys, and law enforcement and corrections officials) as well as a computer program that tracks clients will be used to measure the success of the Shelby Drug Court goals.

The Shelby Drug Court will also make regular reports to the Kentucky Administrative Office of the Courts on the following goals and measures for goal achievement:

Table 2. Program Goals and Measures

PROGRAM GOALS	MEASURES FOR GOAL ACHEIVEMENT
1. Promote Abstinence	Drug free babies; clean urines; number of meetings attended (AA/NA, treatment groups, education, case specialist meetings)
2. Decrease Recidivism	# re-arrests while in program and after graduation (tracked with Courtnet, a daily jail list, and arraignments are monitored daily as well)
3. Community Safety	Lower community drug arrests; lower property crime
4. Increase Life Skills	Court approved housing; court approved employment; education level of clients; gaining/keeping custody of children
5. Community Awareness	# media contacts; national recognition; additional funding; requests to speak; more referrals
6. Expand and Maintain Resource Base	Expanding and maintaining the number of agencies the Drug Court program can refer clients to or who work with the Drug Court program

Recruitment and Screening

Drug Court participation will be voluntary. Judge Stewart expects that 75% of the clients will ask to be put into the program, 15% will be referred to the program by the Judge, and 10% will be referred to the program after an agreement by the prosecutor and defense attorney. Drug Court clients will learn about the program in a variety of ways, including: (1) Brochures inviting arrestees/defendants to apply, (2) Defense council informing defendants of the Drug Court, (3) Judge informing defendants of the Drug Court, and (4) Word-of-mouth. Brochures for potential clients are currently being created by Cassandra Gray, a treatment specialist on the Drug Court team.

The Judge believes that clients will enter the Drug Court program because of the desire to avoid jail. Many clients may also enter the program because they realize that they have a substance abuse problem and feel that the Drug Court program can help them.

There will be two tracks in which clients can enter the Shelby Drug Court program: Diversion and Probation. For both tracks a client must: (1) Have a self-admitted drug problem; (2) Meet criteria for drug abuse from the Addiction Severity Index (ASI); (3) Have drug use or drug and alcohol use problems—alcohol abuse alone does not meet the criteria for Drug Court program eligibility; (4) Consent to a urine drug test; (5) Have a non-violent criminal history; and, (6) Sign an agreement of participation.

The majority of Drug Court clients will enter the program through a Diversion track. Most will be identified at their first arraignment, although some will be assessed

after their second hearing (usually 30 to 60 days after the initial arraignment). A small percentage of clients will be post-plea probation clients.

Eligibility for each of the tracks hinges on the following inclusionary and exclusionary criteria. Inclusionary criteria will comprise of alcohol and other drug use or addiction. A client does not have to be an addict in order to be accepted into the program, although the program will concentrate mostly on drug-addicted offenders. Exclusionary criteria will consist of violent offenses. Violent offenders will not be admitted into the program.

Assessment screening of Drug Court clients will be conducted by Drug Court staff and treatment facilities. Assessment will be conducted outside of the courthouse, most likely at the Seven Counties independent treatment facility. Assessment will be conducted within three days of the Judge's referral of a client to the program.

After the inclusionary and exclusionary criteria for the Drug Court program are met, clients may be assessed further as to their suitability for the Drug Court program. These assessments will determine whether a client can comply with the regulations of the program and whether they can comprehend the stipulations of the program.

Capacity

There will be no limit to the number of clients the program can accommodate at one time. Initially, clients will begin the Drug Court program separately. The Judge would like to incorporate the clients into already existing treatment groups. However, the Judge would like to keep clients together in groups and as the program progresses, the clients might enter the program when enough individuals are available to form a cohort or cycle or unit.

Timing. Within a week after a client is determined eligible to enter the Drug Court program, they will make their first Drug Court session appearance. Individualized Program Plans will be developed within fourteen days after a client enters the program and a client's first contact with a treatment provider will occur within three to four weeks of the development of their Individualized Program Plan. Within a week of non-compliance, appropriate sanctions will be imposed.

Treatment Programming

Judge Stewart believes that an important difference between other treatment programs and the Drug Court program is that the Drug Court is a federally mandated and funded program in which a basic structure is provided. If a particular Drug Court program veers too far away from what the federal government intends as a Drug Court program, the funding can be revoked. Judge Stewart also believes that the record keeping and the Drug Court's team approach will make the Drug Court program more effective than other drug treatment programs in the area.

Assessment of Needs. Potential clients must undergo an assessment to establish drug dependency and a history of drug use. The Addiction Severity Index (ASI) will be administered by the treatment coordinator. The ASI⁵ is a multidimensional instrument used to diagnose, evaluate, and assess change in a client's drug abuse patterns. It identifies personal and family background, current status, and problems in six domains including medical status, employment/support status, drug/alcohol use, legal status, family/social relationships, and psychiatric status. The ASI is a computerized assessment tool based upon the concept that successful treatment of drug offenders must address problems which may have contributed to their drug dependency. It takes approximately forty-five minutes to administer. The ASI and the Bio-Psycho-Social will be used for needs assessment.

Orientation. Orientation will be conducted at the client's first meeting with the Drug Court staff. The case specialist or the treatment coordinator will explain the program requirements to the clients at assessment, at formal entry, and as they move through the phases.

Program Documentation. Each client will receive a participant handbook. The Shelby Drug Court program is in process of creating a Drug Court handbook and Drug Court brochures specific to the Shelby Drug Court program. In addition, each participant will sign an Agreement of Participation which describes program expectations. The Judge will also explain program rules to clients.

Individual Program Plans (IPP). Each client will receive an individualized treatment plan. The client and treatment coordinator will develop the individual program plans together. Plans will be updated every four weeks. The plans may include group, family, and individual counseling; frequent and random drug testing; educational and vocational training; and health and community activities. Case specialists, treatment staff, the Judge, the client, and the client's family will all have input into the development of the IPP. Plans will be individualized by (1) Level of treatment, (2) Any psychological or competency testing done, (3) GED or vocational training, (4) Restitution or other payments, (5) Family issues, (6) Domestic violence, (7) Dual diagnosis, and (8) Special group sessions. Some of the special group sessions may include anger management and parenting sessions.

Requirements for each of the clients will change as they move through the phases. There will be three phases in the Shelby Drug Court program. These phases will take a minimum of one year to complete. Some clients may be in the program for as long as two or three years.

Phase I will consist of intensive Out-Patient treatment. Clients will attend group treatment sessions four times a week for two hours. This phase will last approximately six weeks. All clients will attend one individual session per week and there will be a

⁵ NIDA (1995). "Assessing Client Need Using the ASI: A Handbook for Program Administrators." U.S. Department of Health and Human Services, Public Health Service, National Institutes of Health. NIH Publication No. 95-3619.

minimum of two random urine drug screens each week. Clients will also attend five NA/AA meetings each week. The focus of Phase I will be on becoming stable and being abstinent. Clients will also attend one Drug Court session each week.

Phase II will last for approximately 20 weeks. Clients will meet with treatment staff three times each week, two times for group sessions, and once for an individual treatment session. Clients will continue to be screened for drugs by random urine screens two times each week and they will attend a minimum of three NA/AA meetings per week. Phase II will focus on job readiness, GED, vocational training, and spirituality. Clients will attend one Drug Court session every two weeks.

Phase III will be the treatment aftercare part of the Shelby Drug Court program. This phase will last for approximately 26 weeks. Clients will attend two group sessions each week and will be screened for drugs randomly once per week. Clients will attend three NA/AA sessions per week and one Drug Court session every three weeks. Group sessions will focus on relapse prevention, aftercare, and employment.

Drug Court Sessions. The Shelby Drug Court participants will be seen on a Drug Court docket. Sessions will be held from 8 to 9:30 am once a week. Up to 20 clients will attend Drug Court sessions at any given time. Each client will be required to stay until the session is complete. The Judge will speak to each client, starting with those in custody for an act of non-compliance. The Judge will review each client's files with a case worker before the Drug Court session. There are currently no plans to include another Judge in the Shelby Drug Court program.

Individual counseling will be available as needed for each client. Drug Court staff will be able to see clients outside of normal, 8:30-4:30, office hours. Emergency counseling will also be provided as needed. Clients will be able to talk with their NA/AA sponsors as well as the treatment coordinator.

In addition, although all sessions and responsibilities to participate in the Drug Court program may require transportation, it will not be provided by the Drug Court program. Childcare may be provided by the program during court sessions and individual and group sessions.

Employment. Drug Court clients will be required to maintain employment throughout the program. Shelby County has a low unemployment rate and employers who are eager to hire people. Case specialists and the Judge will verify employment. If a client loses a job or is unable to find work, various temporary agencies and the unemployment office will be used to help the client find work. The Judge does not expect employment to be a problem for Drug Court clients.

Housing. Clients will also be required to reside in court-approved housing throughout the program. Housing will be verified through home visits. If clients need help finding housing, there are various services available to them. There is a shelter in Shelby County, as well as Section 8 housing. The Department of Social Services,

Operation Care, and the spouse abuse center will all be resources available to clients needing help with housing. If a client is unable to find suitable housing, but is in compliance with other program rules, the Drug Court program will continue to work with them to find appropriate housing. However, if the client is not in compliance with program rules and does not reside in court approved housing, they will be terminated from the program.

Treatment Modalities

The Shelby Drug Court program will utilize local independent treatment facilities to conduct individual and group sessions. The following table lists the some of the services that may be available to Drug Court clients.

Table 3. Treatment Modalities

<i>Treatment Component</i>	<i>Duration</i>	<i>Where Provided</i>
Substance Abuse Treatment Components		
Detox	Up to 30 days	Inpatient Hospital
Methadone maintenance	N/A	
Medical treatment (prescription drugs, hormones, etc.)	N/A	
Individualized treatment plans	As needed	Creative Spirits
Staged recovery process model or “treatment matching” model	Multiphase system Up to 52 weeks	
Relapse prevention model	26 weeks	Creative Spirits
Substance abuse education	52 weeks	Creative Spirits
AA/NA type 12-step model	26 weeks	Creative Spirits
Self-help therapy using a manual or diary	N/A	
Acupuncture/acupressure	N/A	
Hypnosis	N/A	
Other drug/alcohol treatment	52 weeks	Creative Spirits
Management of Services		
Case management (emphasis on procuring and monitoring service from various agencies to insure delivery of treatment to the clients)	52 weeks	Creative Spirits
Casework (extends beyond case management and includes active integration of the care provided, counseling from a social work perspective, and involvement with the client’s family)	available	Seven Counties Family Institute
Advocacy for obtaining services/benefits for the client (e.g., unemployment benefits)	available	Creative Spirits
Mental Health Services		
Individual Counseling	available	
Scheduled group therapy or group counseling	52 weeks	Creative Spirits
Family therapy	available	Seven Counties
Training		
Social skills development training	available	
Problem solving skills training	available	
Life skills training	available	
Parenting classes	N/A	
Cognitive behavioral (e.g., teach self-reinforcement)	available	

<i>Treatment Component</i>	<i>Duration</i>	<i>Where Provided</i>
Training in anger management	available	
Stress management	20 weeks	Creative Spirits
Biofeedback training	N/A	
Relaxation methods	N/A	
Transcendental meditation	N/A	
Thinking errors approach	N/A	
Moral or ethical training	N/A	
Contingency contracting (combines both rewards and punishments for specific named behaviors)	available	
Token economy	N/A	
Health		
Health care	available	
Referrals to health care organizations	available	
HIV testing referral	available	
TB testing referral	available	
Other Components		
Service for special populations	available	
Service for cultural/ethnic groups	available	

Several different substance abuse treatment providers will serve the Shelby Drug Court program: Seven Counties, Beta, Chrysalis House, Jefferson Alcohol and Drug Center, Hope Center, halfway houses, Our Lady of Peace Hospital, Central State, Tenbrook, and Creative Spirits. The Shelby Drug Court program will send the Drug Court clients to the independent treatment providers for group sessions and some individual counseling.

Other Program Components. In addition to each of the treatment components available to clients, there will be several aspects of the Shelby Drug Court program that make the program unique: community service, mentoring, journals, and a church component for some clients.

Community service will be used as a potential sanction for the Shelby Drug Court program. Clients will be ordered to work with the Clean Community Program in which they would pick up trash and do landscape maintenance.

The **mentoring** component has not yet been planned. However, the Judge would like to use a mentoring system in the Shelby Drug Court program. Mentors would make sure that the program is meeting participants' needs and they would provide another source of support for clients.

Journals will be used as an aspect of self-awareness. Clients will be able to look back over what they have written about and think about what they are doing.

If a client is a member of a **church** or has no objection to attending a church, the Judge will require that they attend services regularly.

Client Contact. Clients will have contact with a variety of program components on a regular basis during the Drug Court program. In addition, the contact they will have with various program components will change as they move through the program phases. A summary of client contact by program component is presented in the following table.

Table 4. Summary of Client Contact with Program Components

	<i>Phase I</i>		<i>Phase II</i>		<i>Phase III</i>	
	# times	Per	# times	Per	# times	Per
Substance abuse individual counseling	1	Week	1	Week	as needed	
Substance abuse group counseling	4	Week	2	Week	2	Week
AA/NA	5	Week	3	Week	3	Week
Other individual and group counseling	as needed		as needed		as needed	
Drug Court Judge	1	Week	2	Month	1	Month
Drug testing	2	Week	2	Week	1	Week

As the table indicates, client contact for each of the different program components varies by phase and, to some extent, is based on individual need. In general, clients have contact with substance abuse counseling 5 times per week in Phase I, 3 times per week in Phase II, and at least twice a week in Phase III.

Relapse Patterns

The Judge believes that clients will be most likely to relapse within 90 days of their entrance into the program. He believes that different stresses are likely to trigger relapses. These stresses include crisis in the family, major life events, and seeing old friends and old places. Other possible causes of relapse include discharge from treatment and pending/following graduation. The Judge feels that the structure of the program and the necessity of individual responsibility will be difficult for Drug Court clients.

Client Monitoring

Clients will be monitored by the Judge, the Drug Court program staff, and by the independent treatment facilities through urine drug screens, in court sessions, and in individual and group sessions.

Urine Drug Testing. One of the most important ways clients will be monitored is through drug testing. Drug testing will be done frequently and randomly. The first drug test will be conducted at assessment. Because the amount of funding for the Shelby Drug Court program is, to date, undetermined, it is undecided where drug testing will be done.

However, facilities are available in the courthouse and in the independent treatment facilities.

Urine screens will be used to test for marijuana, cocaine, quaaludes, valium, and crank. Other drugs will be tested for as needed. Drug screens will be conducted randomly. Initially, clients will “drop” five times per week and three of those drops will be tested. The amount of testing will decrease as a client progresses through each phase. The average cost of a urine drug screen for the current fiscal year is \$15.

Sanctions and Rewards. The sanctioning process will be flexible. Clients will be likely to be sanctioned similarly. However, sanctions will be applied on a case by case basis. The Judge, with input from the Drug Court staff, will decide when incentives and sanctions will be used as well as which sanctions will be used.

Any action of non-compliance with program rules will prompt sanctions. Sanctions will range from community service to time in jail. Sanctions will also include extra required meetings and home incarceration. The Judge wants to use jail time only as an extreme sanction. The Judge feels that sanctions should be swift in reaction to an act of noncompliance.

Measures of success will be rewarded. Overcoming difficult hurdles, such as getting a job and extended periods of abstinence, are different measures of success. The ultimate rewards will include phase promotion and graduation. Other rewards might include certificates, mementos, decreased frequency of required appearances at different sessions, and gift certificates. The reward process will also be flexible.

Once clients are in the program, the Judge believes that they will remain with it in order to avoid jail and because they realize that they are becoming successes. The Judge believes that a great portion of the reason why clients choose to remain in the program is the “carrot and the stick” factor. Clients see the end goal of sobriety, but are also prodded along by the fact that jail is a reality if they fail in the program.

Graduation. The minimum time requirement for graduation will be 12 months. In addition, a client must successfully go through all three phases, maintain stable living conditions for at least six months, maintain employment for at least six months, maintain clean urine drug screens for at least six months, have made a substantial amount of fee payment and have participated in the mentoring process for at least ninety days. Graduations will occur quarterly. The graduations will be informal. They will be conducted as a special event and possibly at a special time, such as sometime in the evening as opposed to the normal court session held during the day. Family members, members of the Drug Court team, and invited guests from the community will all attend. Clients will be given a certificate of program completion as well as some other token such as a gift certificate for a dinner.

Program Removal. Participants will be removed from the program for acts of non-compliance with their treatment regulations. Failure to participate, failure to appear

in court, new non-drug charges filed, new drug charges filed, and repeated dirty urine drug screens will all prompt removal from the program. When a client is removed from the program, criminal proceedings will be reinstated. When a client fails in the program, they will be notified by the Judge during their court appearance.

Aftercare

Clients will be required to participate in an aftercare program. No formal plan has been drafted for what this program will entail but clients will have to remain in the aftercare program for at least six months.

Information Capabilities and Reporting

Regular reports about Drug Court clients will be made. Reports will be presented to the Administrative Office of the Courts. Urinalysis results, records of treatment attendance, appearance for urinalysis, appearance at court hearings, notes on participants' compliance with court ordered conditions, counselor notes, treatment provider notes, criminal histories, and personal histories will be included in reports. Reports will be presented in score card format with limited narrative.

Aggregate status reports will be made as required by the Administrative Office of the Courts. Monthly aggregate reports will include number of diversion track candidates eligible in Category I and II, number assessed, number of initial drug screens, number of candidates eligible, number accepted. For probation, the number of candidates referred, assessed drug screens, eligible, and transferred will be recorded. Then overall statistics will be reported for the Drug Court program including: total number of candidates accepted, number of participants moving to each phase, number of court sessions, number of participants identified as using based on urine screens, number of individual sessions, number of group sessions, number of family/support sessions, number of participants referred to outside agencies, employment and educational status of clients, number of employment and housing verifications, amount paid toward court obligations, number of sanctions, number of participants rearrested for new charges, number of terminations, and total number of active participants in the proceeding month. Quarterly and yearly reports will summarize monthly statistics, the process, and progress toward outlined objectives and performance indicators. Reports on the termination and transfer of participants will be made upon termination or transfer. Expenditure reports will be made as required by the Administrative Office of the Courts.

Reports will be made to Judges in written format and in person. The Drug Court team will receive information about Drug Court clients. Treatment providers will report to the treatment coordinator. There will be a computer program that will track clients. The Shelby Drug Court will work with the Office of Probation and Parole in some resource referrals.

Funding

The Shelby Drug Court will first be funded by a federal Byrne implementation grant. Currently, the Judge is waiting for the funding to implement the Drug Court program. As the program progresses, the Judge would seek funding from local sources. Drug Court clients would be required to pay an undetermined amount of fees in order to cover urine screens and other costs. Fees could be worked off or excused for those clients who do not have the financial resources to pay. Clients will also be able to earn incentives to reduce their fees and clients may be able to have their fees waived if they do a certain amount of community service. Clients will also be required to pay child support, restitution, medical fees, victim payment, and court costs.

Treatment costs and urinalysis costs will be paid for from the following sources, in order of priority: (1) Insurance, (2) Client, (3) Grant, (4) Client, on sliding scale, (5) Client's family members, and (6) Waived. The Drug Court may utilize some third party payment.

Program Decision Making

Decisions about the Drug Court program will be made by the Judge and Drug Court staff with input from the Drug Court team.

Evaluation

Because the Shelby Drug Court program is not yet implemented, plans for evaluation are not yet finalized. The Judge hopes that a follow-up of graduates would be conducted by the Administrative Office of the Courts or an outside research facility. Tracking of graduates will be done either by an outside facility which could use the computer program that the program will have. Dropouts will not formally be tracked. The Judge anticipates that many dropouts will re-enter the criminal justice system with new charges. A control group for comparison with Drug Court clients could be formed from clients of the Office of Probation and Parole. At graduation, clients will be asked to evaluate the program. Measures used to assess the effectiveness of the Drug Court program will include successful graduates and periods of abstinence. Those graduates who are employed, have gotten their GED and have a stable home life will all be considered successful. "Any movement up is progress."

Potential Program Changes

The Judge can foresee some changes to the sanctioning process. He does not like the idea of jail time for sanctions and would rather be more creative with his sanctions. He wants to use jail time as a last resort. He would rather eject someone from the program than constantly put them back in jail for infractions of program rules.

Needed Services

The Judge would like to see a halfway house or a shelter for women in Shelby County. Currently, Shelby County does not have any halfway houses and clients would have to travel to Jefferson County to reside in a halfway house. The Drug Court program would not be involved in the creation or maintenance of shelters or halfway houses but could use the service for clients.

Program Strengths

The useful components of the Drug Court program mentioned by the planning Judge include the fact that clients will get treatment with monitoring, the sanctions, and the expertise of the team.

Advice to Other Drug Courts

Advice to other new Drug Court programs included understanding the necessity of training. Attending weeklong training sessions before one makes a decision about starting a Drug Court program should be mandatory. It is important that Judges understand that their traditional role will change with their participation in the Drug Court program.

Staff Characteristics

Currently, no staff has been hired for the Drug Court program. The Judge would like to employ local Alcohol and Other Drug counselors. He feels that at least one African-American should be on the Drug Court staff. He would like to have staff with experience in the field and with good credentials. It is possible that he would want a recovering addict on the staff. After the program has been in place, it might be possible to employ a former Drug Court client, or use a former client to give feedback concerning the strengths and the weaknesses of the program.

There will be two full time staff members whose positions will be funded by the Drug Court program. The treatment coordinator will oversee local administrative duties as well as treatment. The case specialist will work primarily with treatment. The treatment coordinator will handle agency coordination. The case specialist and the treatment coordinator will handle information management, case management, program monitoring, assessing success, treatment, program reviews, and recommending modifications.

Staff Training. Staff will be trained by the Administrative Office of the Courts. The AOC personnel policies manual and the Drug Court manual will be used to assist in training. The Drug Court manual includes a discussion of the program, entrance requirements, types of Drug Court referrals, intake logs, supervision, outline of program phases, sanctions, unsuccessful termination, future Drug Court eligibility, statistical reporting, and the majority of necessary forms (see Appendix C for the Drug Courts Program Manual).

Interns. The Judge would like to use interns in the Shelby Drug Court program. They would assist the treatment coordinator and case specialist.

Volunteers. The Judge does not currently intend to use volunteers. However, if someone would be willing to commit some time to working with the Drug Court, he would not be opposed to using them as volunteers.

Judges. Currently, only one Judge has a commitment to work with the Shelby Drug Court program. If the program expands, more Judges may be included. Judge Stewart has been on the bench for fifteen years and has created programs similar to the Drug Court program while in District Court. The current Judge has attended Drug Court training sessions to prepare for the Drug Court program. Judge Stewart intends to work with the Drug Court program as long as he remains on the bench.

Advisory Committee. Currently, there is no advisory committee for the Shelby Drug Court. The Judge would like the committee to consist of a variety of volunteers from the community. Someone with a legal background should head the committee. Other representatives should include someone with training in the field of substance abuse, someone from local industry, someone from the local faith communities, and possibly someone from law enforcement. Regular meetings of the advisory committee

would be held, and they would also come to court sessions. Training for the advisory committee would consist of presentations by the Administrative Office of the Courts Drug Court manager.

Other Representatives. Other people involved with the Shelby Drug Court program include the Drug Court team. This team has been joined on occasion by representatives from the prosecution, the defense, the police, the jail, treatment providers, and probation and parole. The program will rely on input about street activity from law enforcement. Prosecution and defense staff will ensure that all clients get their due process. The permanent members are listed in the table below:

Table 5. Drug Court Team Members

Member	Organization
Rob Riley	Public Defender
Fielding Ballard	County Attorney
Carolyn Peterson	Drug Court project coordinator
Judge Stewart	Circuit Court
Cassandra Gray	Creative Spirits treatment organization

Another key representative in the Shelby Drug Court program is Carolyn Peterson. Carolyn Peterson is Judge Stewart's secretary. She has worked to coordinate efforts to start a Drug Court program in Shelby County. She assembled the Drug Court team and has planned various educational trips that the Drug Court team has taken. She also handles media contact. (see Appendix B for Newspaper Articles)

Community Organizations

The community organizations with which the Drug Court program will work are hoped to generate a positive perception of the Drug Court program's impact on the community and to generate funding for the program. The community organizations will be used for media coverage. The following table presents a list of organizations with which the Drug Court program hopes to work.

Table 6. Community Linkages

<i>AGENCY</i>
Local AA
Local NA
Comprehensive Care
God's Pantry
Adult Literacy Program
Local Educational Systems
Local Employers
Vocational Rehabilitation
Local Faith Communities
Local African-American Community

Client Characteristics

Because the Shelby Drug Court has not yet been implemented, no clients are a part of the program. When the program does begin, non-violent addicted or using felony offenders in Shelby County will be the targeted population for the Drug Court clients.

The Judge predicted a number of client characteristics. The Judge expects that 60 percent of the clients will be African-American and 40 percent will be white. The age group from which he expects most clients to come will be between the ages of 25 and 40. The Judge expects to see clients who are pregnant, as well as those who are HIV positive or have active AIDS. The Judge expects that 75 percent of the clients will be unemployed before they begin the program, that 75 percent will be married or recently separated, and that 50 percent will have a high school education. The Judge expects to see a great number of women will be single mothers and that 75 percent of the men will be living alone, although many of them may have children. The Judge expects that between 40 and 50 percent of the potential Drug Court clients will have been in some sort of drug treatment program prior to entering the Drug Court program.

The Judge predicts that clients entering the program will have used drugs for at least five years. A large number of the clients will have been in some form of drug and alcohol treatment prior to their entrance into the Drug Court. In addition to their drug charges, the Judge predicts that a great deal of clients will also have the following charges: theft by unlawful taking, criminal possession of a forged instrument, flagrant non-support, a fourth DUI, drug possession, drug cultivation, receiving stolen property, criminal trespass, second or third degree burglary, shoplifting, theft by deception, and some drug trafficking or sale charges.

Drug Court clients are expected to have a variety of special needs. Parenting issues will be a point of focus for many clients. Some clients will have medical problems and others will need financial assistance. Others will have vocational and educational needs. Drug Court staff will work with clients in order to get them proper medical care and insurance. Clients will be able to get their GED's while in the program and they will have access to Vocational Rehabilitation.

Perceptions

Judge Perceptions

Only one Judge has been involved with the planning of the Shelby Drug Court. Since he is the only Judge currently committed to the Drug Court program, he intends to stay with the program for as long as possible.

Judge Stewart has been on the bench for fifteen years. In that time period, he has served as a District Court Judge as well as his current position of Circuit Court Judge. When he was with the District Court, he worked with a number of programs that are similar to the Drug Court program but did not include the intensive supervision present in a Drug Court program.

The Judge believes that the Drug Court will affect the community and the Judicial system by first isolating and categorizing the persistent non-violent drug users and addicts. These criminals will no longer be categorized with other criminals, but will be instead with their peers. Secondly, once the users are identified, they can be treated for their drug problems.

The Judge believes that between 40 and 50 percent of the potential Drug Court clients will have been in some sort of drug treatment program (with the exclusion of AA or NA) prior to entering the Drug Court program. He believes that the important difference between other treatment programs and the Drug Court program is that the Drug Court is a federally mandated and funded program in which a basic structure is provided. If a program veers too far away from what the federal government intends as a Drug Court program, the funding can be revoked. Therefore, he believes that the formal structure of the federal Drug Court program is superior to the locally created drug treatment programs. He also believes that record keeping and the team approach will make the Drug Court program more effective than the other drug treatment programs in the area.

The Judge believes that clients will find out about the Drug Court program when they are first arraigned. The public defender will inform the potential client of their eligibility for the Drug Court program. The clients will also find out about the program through word of mouth. The Judge believes that clients will choose to enter the program because of the desire to avoid jail and that many clients also will realize that they have a substance abuse problem, and have a desire to be clean. Once clients are in the program, the Judge believes that they will remain with it in order to avoid jail and because they realize that they are becoming successes. The Judge believes that a great portion of the reason why clients choose to remain in the program is the “carrot and the stick” factor. Clients see the end goal of sobriety, but are also prodded along by the fact that jail is a reality if they fail out of the program.

The Judge would like to have a halfway house or shelter for women in Shelby County. Currently, Shelby County does not have any local residential treatment facilities. Clients have to travel to Louisville or Lexington in order to stay at a halfway house.

The Judge believes that the time frames set up for the Drug Court program are the right length of time. He believes that it should be 18 months to 2 years maximum time for completion of the program and that minimum time would be one year. He also believes that the testing for drugs in each of the phases would be just the right amount of testing. The only time constraint that the Judge had was his schedule as a Circuit Judge. He would not schedule Drug Court sessions for every week. However, the Judge will schedule Drug Court sessions each week.

The Judge believes that if the program provided drug testing and court hearings but no treatment that the program would not work. The Judge also feels that if the clients appeared before the Judge less often that the program would not work very well. A minimum of once a month for Drug Court Sessions is necessary. The maximum number of Drug Court sessions would be once every week. The Judge believes that any more sessions conducted in this amount of time would mean that the court appearances become rote and repetitious and thereby lose their value. The Judge believes that if the clients appeared before different Judges rather than the same Judge, the Drug Court program might be strengthened. He believes that the program would become too personalized with one Judge presiding and that the program team members should be interchangeable in each of their positions.

The Judge feels that sanctions should be swift. He also sees that it is important that a consequence follow the negative act by the clients. Conversely, the reward process is important to let the client know that they are succeeding.

The Judge believes that there are some aspects of the Drug Court program that will be difficult for the clients. The structure of the program is something that the clients are not used to and therefore will be a difficulty. The fact that clients are responsible for their own actions will also be a difficulty. The swift consequences following a failure might be a shock to some clients. Situations that the Judge believes will trigger relapses include stress, the environment that the client is in, and treatment that is ineffective. Treatment programs that do not require attendance and have no real goal but are basically a forum for client complaints are programs that the Judge believes are ineffectual.

The Judge feels that the most important thing that a client must do in order to succeed is to actually complete the steps. They must realize that there are negative consequences for non-compliance. He believes that individual stresses will play a large role in whether or not the client succeeds. Each step that the client is able to take in the program, whether it be better employment or escape from an abusive situation, puts the client one step closer to a successful completion of the program.

Aftercare services are planned for Drug Court clients. The Judge feels that these services will be very important because the clients will maintain at least six months of casual interaction.

The Judge believes that the Drug Court program will impact the court system by saving the system money and by allowing Judges, prosecutors, and defense council to focus on violent offenders.

Money has been the only issue in the start up of a Drug Court program in Shelby County. Currently, the Judge is awaiting funding from the federal government in order to begin the Drug Court program. He would like the program to be successful with the federal money and then to search for local funding in order to continue the program.

Information that the Judge believes necessary to conclude that the Drug Court program is a success includes statistical tracking for up to two to three years after clients have left the program. The record checks of former clients will let the Judge know that the program has had long-term success. He also believes that standardization of the program will be a key to the success of the program.

Defense Perceptions

Two defense attorneys responded to surveys regarding the planned Shelby Drug Court program. One attorney will have a staffer who is solely responsible for working with Drug Court, while also maintaining other responsibilities. The other defense representative will not have any staff specifically devoted to the Drug Court program.

Both defense attorneys believe the Drug Court program will not have any impact on attorney/staff orientation and/or training programs. However, both attorneys expect that the Drug Court program will have an impact on their policies and procedures. One attorney noted “It will be an alternative to other disposition procedures.” One defense attorney also believed that the Drug Court program will lead to a greater interdependence between the defense office and community groups. The other defense attorney did not expect there to be any impact on the relationship with community groups as a result of the Drug Court program

Defense attorneys listed the following as important tools for evaluation of the program: (1) Reduction in the level of recidivism, (2) Number of successful completions, (3) Reduction in the incarceration level for addiction offenses, and (4) Overall expense of running the program (e.g. tax dollars and hours spent). One attorney noted “If it is ineffective or effective, modifications can be made to limit or increase its scope.”

Both defense attorneys felt that the following aspects of the Drug Court program are very important: drug treatment, drugs testing, and sanctions for noncompliance. Other components of the program that defense attorneys find to be important include: continuous review of client progress, court sessions, the employment requirement, family counseling, and health referrals.

The main reasons that defense attorneys believe that clients would enter the Drug Court program would be (1) Avoid the cycle of incarceration, and (2) An opportunity to get out of the drug lifestyle and avoid a serious criminal history.

The reasons defense attorneys believe that clients would remain in the Drug Court program would be (1) Support through goals and expectations, (2) Personal benefit, and (3) Avoid incarceration.

Defense attorneys agreed that the Shelby Drug Court will impact the criminal justice system in the following ways: (1) Drug Court will promote new relationships with the justice system and other agencies in the community, (2) Drug Court will encourage greater coordination with community groups, (3) Drug Court will provide a more effective response to substance abusers, and (4) Drug Court will increase the education and awareness of attorneys about substance abuse and its impact on clients. One defense attorney commented “It will send the message that the system does not punish the sick for their sickness.”

Defense attorneys believed that the Shelby Drug Court program will provide a variety of savings in the following areas: time saved in terms of case preparation and savings in jury costs. Other expected savings include attorneys' fees, fines, and less time spent in trials and revocations.

Expected costs as a result of the program would include costs of time as well as money. It was noted that more time will need to be allocated to prepare and participate in the program. Additional costs will include treatment and monitoring.

Problems or difficulties that the defense attorneys expect as a result of the Drug Court program include "enforcement and Court involvement in the program to monitor the progress of the clients enrolled" as well as the costs of time and money. In order to overcome some of these problems, "there should be adequate staff of court personnel monitored through Probation and Parole for the enforcement and monitoring, to include drug testing and to assure necessary contact with the Circuit Court Judge."

Defense attorneys believed that the significant benefits of the Drug Court program would provide for the defense office would be (1) Will assist in bettering the community, (2) Will better accomplish mission, and (3) Will help clients with the cause of their conduct.

The strengths of the Drug Court program listed by defense attorneys were: (1) Direct participation by those who have power to effect change, (2) Immediate reward/punishment, and (3) Empowers the client to ultimately succeed.

Further comments included: "I am excited about setting up such a program and plan to enthusiastically support Drug Court."

Jail Perceptions

One representative of the Shelby County Jail was interviewed. The Shelby jail representative indicated there would be no jail staff solely dedicated to the Drug Court program. The representative also indicated that if necessary, some changes to officer/staff orientation and training programs would result from the Drug Court program. However, the jail representative indicated that there was no expected impact on arrest and/or jail policies and procedures.

The jail representative felt that the Drug Court Program would affect the jail's relationship with community groups through greater involvement and communication. The representative also believed that Drug Court would be coordinated with the community-policing program.

The jail representative felt that an important evaluator of the Shelby Drug Court program would be to measure the recidivism rate of Drug Court clients. The representative also indicated that the Drug Court program should encourage greater coordination with other justice agencies as well as promote new relationships within the justice system and other agencies in the community.

The representative felt that the Shelby Drug Court program would be a more effective response to arrests of substance abusers as well as a more effective tool to enforce a no tolerance policy. The representative agreed that the Shelby Drug Court program will increase education and awareness of officers about substance abuse and its impact on clients. Further, the representative felt that the Shelby Drug Court Program will result in more jail space for pre-trial and sentenced defendants. The representative also felt that the program will result in a reduction of substance dependent detainees.

The jail representative did not expect to see savings in the area of time spent in court appearances or police and/or corrections overtime. However, the representative did indicate expected savings in jury costs and a reduction in the number of re-arrests. The jail representative did not expect any problems or difficulties to arise as a result of the planned Shelby Drug Court program.

The significant benefits of the planned Shelby Drug Court program, listed by the jail representative, included: (1) Reduction in the jail population, (2) Reduction in repeat offenders, and (3) Reduction in staff overtime and other expenses resulting from a large jail population.

Further comments from the jail representative included: "we're very excited about seeing the outcome and helping the drug problem. I will support it in any way."

Police Perceptions

Two police representatives completed surveys about the Shelby Drug Court. The representatives indicated that, currently, there is no plan to dedicate any officers solely to the Drug Court program. It was indicated that “all officers will be working somewhat for the Drug Court because they are out in the community and will be able to watch the offenders and be able to report back to the Drug Court.” Representatives also indicated that they did not expect the Drug Court to have any impact on officer/staff orientation.

The officers indicated that the Drug Court program will cut the cycle of arrest and re-arrest. Officers believe that the Drug Court will strengthen the police departments’ relationship with the community.

Officers feel that the success of the Drug Court program can be evaluated by (1) The turnover rate of success vs. failure, (2) Good record-keeping of progress, (3) Agency sharing of Drug Court personnel, (4) Fewer drug offenders, (5) Keeping “an eye on all participants of Drug Court to make sure they are following all guidelines of the Drug Court,” and (6) Keeping track of those who graduate and who do not graduate.

Police representatives believe that the Drug Court will encourage greater coordination with other justice agencies, promote new relationships with the justice system and other agencies in the community, permit officers to be available for other cases, provide a more effective response to arrests of substance abusers, provide law enforcement with an additional tool to enforce a no tolerance policy, increase education and awareness of officers about substance abuse and its impact on clients, result in more jail space for pre-trial defendants, result in more jail space for sentenced defendants, and reduce the number of substance dependant detainees.

Police representatives indicated that savings are expected as a result of the Drug Court program. Police believe that less time will be spent in court appearances, there will be savings in police/corrections overtime and jury costs, and that there will be a reduced number of re-arrests. Other savings will include less expense for trials and jurors and for the county for the jail. It was indicated that additional costs would be expected “at first, until the program is running smoothly by proving the process to the community.”

Difficulties and problems that the police representatives expect as a result of the Drug Court program include getting sufficient manpower and getting the officers to understand the program and effectiveness it will have to their job and the community. However, community and law enforcement education as well as witnessing the success of clients should help to combat these difficulties. Police representatives also indicated that they “will try to get as much funding as possible so that there will be an upstanding, hard-working staff.”

Benefits of the Drug Court program listed were (1) Fewer arrests and (2) Less time in court. Strengths include (1) Education, (2) Awareness, (3) Helping addicts get

better and have better lives, (4) Awarding the clients that graduate makes them feel that they are special.

Further comments included:

- The Drug Court needs to “stay tough on the addicts and make sure that they do what they are ordered to do.”
- “The Drug Court is a wonderful thing as long as it is done with the right intent and stays tough not to let things slide with the addicts. It will really make a difference in our county. We really have a drug problem in our county and they need extra help with this problem and our Drug Court can give that extra help and guidance.”
- “We feel it would be an asset to our community and help eliminate the repeat offenders who slip through the cracks of justice.”
- “The law enforcement agency and Drug Court will work great together.”

Probation and Parole Perceptions

Two surveys were completed by representatives of the Probation and Parole Office in Shelby County. It was indicated that no involvement with the Shelby Drug Court is currently planned.

Both representatives indicated that they believed that the Shelby Drug Court would divert some of the Office of Probation and Parole's clients to the Drug Court program. The officers also believed that the Drug Court would increase the number of drug tests that the Probation and Parole officers do. The officers predicted no additional costs to their agency as a result of the Drug Court program and were not sure if any additional savings were to be expected as a result of the Drug Court program.

Officers agreed that: (1) Drug Court will encourage greater coordination with other justice agencies, (2) Drug Court will promote new relationships with the justice system and other agencies in the community, (3) Drug Court will permit officers to be available for other cases, and (4) Drug Court will increase education and awareness of officers about substance abuse and its impact on clients.

Representatives of the Office of Probation and Parole indicated that the following components would be important to the success of the Shelby Drug Court: (1) How well the Judge enforces sanctions he imposes on the clients, and (2) The number of clients that are eliminated from other sections of the criminal justice system, and (3) How many clients are successful in the Drug Court program.

Representatives indicated that the Drug Court program would have several benefits for the Probation and Parole Office. These benefits include: (1) A reduced number of clients served by the Office of Probation and Parole, (2) A reduced workload due to having fewer clients, (3) A reduced amount of time in court for revocation, and (4) A reduced number of drug tests.

The representatives the Shelby County area did not feel that the Shelby Drug Court would impact their office in any significant way.

Prosecution Perceptions

One prosecutor completed the survey regarding the process evaluation of the Shelby County Drug Court program. The prosecution representative indicated that no staff will be solely dedicated to the planned Shelby Drug Court program. However, the assistant county attorney will be assigned to the Drug Court program on a part-time basis.

It is expected that the program will have an impact on attorney and staff orientation and training programs due to the presently large caseload. Policies and procedures are expected to be impacted, in terms of assigning staff to cases and finding time to handle Drug Court cases. The prosecution representative also indicated an expected impact on the office's relationship with community groups through stronger communication.

The Shelby prosecution representative suggested the following areas for evaluating the effectiveness of the Drug Court program by measuring the rate of recidivism. The representative indicated that the Drug Court program will encourage greater coordination with other justice agencies, promote new relationships with the justice system and other agencies in the community, and will encourage greater coordination with community groups. The prosecution representative also believed the Drug Court program will provide a more effective response to substance abusers and provide law enforcement with an additional tool to enforce a no tolerance policy. The representative further indicated that the Drug Court program will increase education and awareness of attorneys about substance abuse and its impact on clients and reduce the number of substance dependent detainees. The representative believed that the Drug Court Program would offer savings in terms of case preparation time, police overtime, and jury costs.

The prosecution representative believed that the Drug Court Program would, eventually, reduce the caseload through a reduction in recidivism. However, the prosecution representative indicated the cost of additional personnel as a result of the Drug Court program is expected. A drain on personnel time had already been experienced as a result of the Drug Court program, as indicated by the prosecution representative.

The prosecution representative indicated a significant benefit of the Drug Court program would be community integration, awareness of the drug problem, and a decrease in repeat offenders. The major strengths of the Drug Court program mentioned were the community awareness, treating the addictions, and helping to produce better citizens.

The prosecution representative felt that the Drug Court program could be improved by creating a sense of civic responsibility, reducing other crimes associated with drug use, and cutting down in trafficking/users.

Other comments made by the Shelby prosecution representative were “I am very encouraged about the establishment of a Drug Court in Shelby County. We are in need of some alternative methods that Drug Court can provide to help treat the offenders and to remain supportive of their treatment plan.”

Conclusions

In summary, the Shelby Drug Court program is in the process of being planned. This program will be based on the *Key Components* and will have three program phases which will take clients approximately one to two years to complete.

The most compelling aspects of the Drug Court program are the immediate sanctions that clients will be given when the program rules are violated. Another compelling aspect of the Drug Court program will be the judicial involvement. The final compelling aspect of the Drug Court program is the client accountability. Clients will be required to be responsible for their actions. Respondents indicated that they believed the Drug Court program would be able to produce productive citizens.

Because the Shelby Drug Court program is still in the planning stages, representatives felt that it is too early to tell what the program's impact on the community would be. Most representatives were very supportive of the program. However, more educational programs for the police and for the community were desired.

The following are the most commonly mentioned strengths of the Drug Court program listed by respondents:

- Reduced caseloads
- Community awareness
- Treating the addictions
- Producing productive citizens

The following comments are excellent summaries of what respondents think about the planned Shelby Drug Court program:

Comments from the police representatives included:

- “will try to get as much funding as possible so that there will be an upstanding, hard-working staff.”
- The Drug Court needs to “stay tough on the addicts and make sure that they do what they are ordered to do.”
- “The Drug Court program is a wonderful thing as long as it is done with the right intent and stays tough not to let things slide with the addicts. It will really make a difference in our county. We really have a drug problem in our county and they need extra help with this problem and our Drug Court can give that extra help and guidance.”
- “We feel it would be an asset to our community and help eliminate the repeat offenders who slip through the cracks of justice.”
- “The law enforcement agency and Drug Court will work great together.”

The Jail representatives stated: “We’re very excited about seeing the outcome and helping the drug problem. I will support it in any way.”

A statement from the prosecution was: “I am very encouraged about the establishment of a Drug Court in Shelby County. We are in need of some alternative methods that Drug Court can provide to help treat the offenders and remain supportive of their treatment plan.”

In conclusion, the Drug Court Judge is dedicated to the program and the treatment of potential clients. There was support for the planned Shelby Drug Court program across all respondents surveyed. However, respondents were tentative in naming specific strengths and weaknesses of the planned program. This hesitancy indicates that more information for those parties who will work closely with the Drug Court program may be helpful in facilitating a smoother program implementation.

Process Evaluation Methodology

In evaluating the effectiveness of programs like the Drug Court program, researchers have often relied on only the program outcomes such as termination and graduation rates and/or re-arrests to determine effectiveness. However, programs such as Drug Court are essentially long-term behavior modification programs that can not be fully understood by looking solely at the final program outcomes. To better understand how and why a program like Drug Court is effective, an analysis of how the program was conceptualized, implemented, and revised is needed. A process evaluation, in contrast to an examination of program outcome only, can provide a clearer and more comprehensive picture of how Drug Court impacts those involved in the Drug Court process (e.g., prosecutors, Judges, staff, and clients).

Specifically, a process evaluation provides information about program aspects that lead to desirable or undesirable outcomes. Because changes to the original program design may affect the program outcomes, a process evaluation can be an important tool in helping prosecutors, Judges, staff, defendants, and defense council to better understand and improve the Drug Court process. In addition, a process evaluation may help to reveal strategies that are most effective for achieving desirable outcomes and may expose those areas that are less effective. A process evaluation may also help explain the reasons why some defendants successfully complete the program and why other defendants terminate from the program before they graduate. Finally, a process evaluation may help facilitate replication of the Shelby Drug Court program in other areas of Kentucky.

The limitations for this process evaluation report include generalizability across time and programs. This report is specifically for the planning period for the Shelby Drug Court program. Changes that occur after this point in time are not reflected in this report. In addition, the representatives surveyed for this report may or may not reflect all attitudes toward the planned Shelby Drug Court program. Regardless, the report is critical for documenting the program or the planning process through the stated time period.

The process evaluation for the Shelby Drug Court program included two semi-structured interviews with the Drug Court Judge and semi-structured surveys of defense council, prosecutors, probation and parole representatives, jail personnel, police department representatives, and treatment program representatives. The specific breakdown of interviews is as follows:

Table 7. Process Evaluation Methodology

INTERVIEWS:	NUMBER RECEIVED	RESPONSE RATES
Judge	1	100%
Defense Council	2	66%
Prosecution	1	50%
Probation & Parole	2	100%
Jail	2	100%
Police Department	2	100%
Treatment Program	2	100%

The two Judge interviews lasted approximately five hours total. One Judge interview concerned Judge perceptions of the Drug Court program. The second interview was administrative in purpose and included History and Background of the Drug Court program; Roles and Responsibilities; Client selection; Assessment; and Participation. All other surveys were self-administered. Respondents were recommended by the Drug Court Judge for their knowledge of and contact with the Drug Court program. Information was collect from January to May 1999. Feedback from each group is reported in separate sections.